



TRANSMITTAL FORM

Application Serial Number	10/688,845
Filing Date	October 15, 2003
First Named Inventor	Lotze
Group Art Unit	1614
Examiner Name	Not yet assigned
Attorney Docket No.	UPT-004
Confirmation No.	9535

ENCLOSURES (check all that apply)

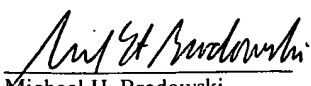
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Check Attached <input type="checkbox"/> Copy of Fee Transmittal Form	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application <input type="checkbox"/> Formal Drawing(s) <input type="checkbox"/> Request For Continued Examination (RCE) Transmittal <input type="checkbox"/> Power of Attorney (Revocation of Prior Powers) <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> CD(s) for large table or computer program <input type="checkbox"/> Amendment After Allowance <input type="checkbox"/> Request for Certificate of Correction <input type="checkbox"/> Certificate of Correction (in duplicate)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences <input type="checkbox"/> Appeal Brief (in triplicate) <input type="checkbox"/> Status Inquiry <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8 (1 pg.) <input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8 <input type="checkbox"/> Additional Enclosure(s) (please identify below)
<input type="checkbox"/> Amendment/Response <input type="checkbox"/> Preliminary <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]		
<input type="checkbox"/> Petition for Extension of Time		
<input checked="" type="checkbox"/> Information Disclosure Statement (2 pages) <input checked="" type="checkbox"/> Form PTO-1449 (17 pgs.) <input checked="" type="checkbox"/> Copies of IDS Citations (B1-B8, C1-C227)		
<input type="checkbox"/> Certified Copy of Priority Document(s)		
<input type="checkbox"/> Sequence Listing submission <input type="checkbox"/> Paper Copy/CD <input type="checkbox"/> Computer Readable Copy <input type="checkbox"/> Statement verifying identity of above		

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Respectfully submitted,


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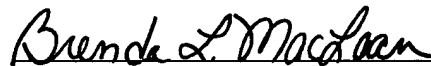
PATENT
Attorney Docket No. UPT-004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Lotze *et al.* CONFIRMATION NO.: 9535
SERIAL NO.: 10/688,845 GROUP NO.: 1614
FILING DATE: October 15, 2003 EXAMINER: Not yet assigned
TITLE: Methods and Reagents For Inducing Immunity

CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8

I hereby certify that this correspondence, and any document(s) referred to as enclosed herein, are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this 25th day of May, 2005.


Brenda L. MacLean

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith are:

1. Transmittal Form (1 page);
2. Information Disclosure Statement (2 pages);
3. Form PTO-1449 (17 pages);
4. Copies of IDS Citations (B1-B8; C1-C227); and
5. a return receipt postcard.



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Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the non-U.S. patent documents and non-patent publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed (CHECK ONE):

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) above but before the mailing date of any of a **final action** under 37 C.F.R. 1.113, a **notice of allowance** under 37 C.F.R. 1.311, or an action that otherwise closes prosecution in the application, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein; or

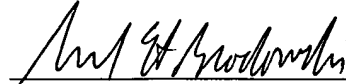
- ☐ (3) after the period defined in (2) above but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

Date: May 24, 2005
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FORM PTO - 1449 INFORMATION DISCLOSURE STATEMENT	ATTORNEY DOCKET NO.: UPT-004 APPLICANT(S): Lotze et al. SERIAL NO.: 10/688,845 FILING DATE: October 15, 2003 GROUP: 1614
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U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	5,434,131	07/18/95	Linsley et al.			
	A2	5,565,321	10/15/96	Spriggs et al.			
	A3	5,674,486	10/07/97	Sobol et al.			
	A4	5,681,562	10/28/97	Sobol et al.			
	A5	5,858,355	1/12/99	Glorioso et al.			
	A6	5,871,728	2/16/99	Thomson et al.			
	A7	5,962,318	10/05/99	Rooney et al.			
	A8	5,962,320	10/05/99	Robinson			
	A9	6,228,654	5/08/01	Chait et al.			
	A10	6,482,405	11/19/02	Tahara et al.			
	A11	2003/0060442	03/27/03	Tahara et al			

FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	0 614 981 A1	09/14/94	EP					
	B2	WO 92/11359	07/09/92	PCT					
	B3	WO 94/20517	09/15/94	PCT					
	B4	WO 96/39196	12/12/96	PCT					
	B5	WO 97/26325	07/24/97	PCT					
	B6	WO 99/30734	06/24/99	PCT					
	B7	WO 99/47102	09/23/99	PCT					
	B8	WO 00/15264	03/23/00	PCT					

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OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C1	Aguet et al., (1998), "Molecular Cloning and Expression of the Human Interferon- γ Receptor," <u>Cell</u> , 55: 273-280.
	C2	Ahuja et al., (1999), "Dendritic Cell (DC)-Based Anti-Infective Strategies: DCs Engineered to Secrete IL-12 Are a Potent Vaccine in a Murine Model of an Intracellular Infection", <u>J. Immunol.</u> , 163(7):3890-7.
	C3	Ahuja et al., (1998), "Human Dendritic Cell (DC)-Based Anti-Infective Therapy: Engineering DCs to Secrete Functional IFN- γ and IL-12", <u>J. Immunol.</u> , 161(2): 868-876.
	C4	Aicher et al., (1997), "Successful Retroviral Mediated Transduction of a Reporter Gene in Human Dendritic Cells: Feasibility of Therapy with Gene-Modified Antigen Presenting Cells," <u>Exp. Hematol.</u> , 25: 39-44.
	C5	Andersen et al., (2000), "Functional Genomics by Mass Spectrometry," <u>FEBS Letters</u> , 480:25-31.
	C6	Apparailly et al., (1998), "Adenovirus-Mediated Transfer of Viral IL-10 Gene Inhibits Murine Collagen-Induced Arthritis," <u>J. Immunol.</u> , 160: 5213-5219.
	C7	Arai et al., (1989), "Complete Nucleotide Sequence of the Chromosomal Gene for Human IL-4 and its Expression," <u>J. Immunol.</u> , 142: 274-282.
	C8	Arthur et al., (1997), "A Comparison of Gene Transfer Methods in Human Dendritic Cells", <u>Cancer Gene Therapy</u> , 4(1):17-25.
	C9	Ashley et al., (1997), "Bone Marrow-Generated Dendritic Cells Pulsed with Tumor Extracts or Tumor RNA Induce Antitumor Immunity Against Central Nervous System Tumors," <u>J. Exp. Med.</u> , 186:1177-1182.
	C10	Bahnon et al., (1995), "Centrifugal Enhancement of Retroviral Mediated Gene Transfer," <u>J. Virol. Methods</u> , 54:131-143.
	C11	Balter (2001), "Searching for Medicine's Sweet Spot," <u>Science</u> , 291:2339-2343
	C12	Banchereau et al., (1998), "Dendritic Cells and the Control of Immunity," <u>Nature</u> , 392:245-252.
	C13	Bertozzi et al., (2001), "Chemical Glycobiology," <u>Science</u> , 291:2357-2363.
	C14	Bett et al., (1994), "An Efficient and Flexible System for Construction of Adenovirus Vectors with Insertions or Deletions in Early Regions 1 and 3," <u>Proc. Natl. Acad. Sci. USA</u> , 91:8802-6.
	C15	Bhardwaj et al., (1996), "IL-12 in Conjunction with Dendritic Cells Enhances Antiviral CD8+ CTL Responses <i>In Vitro</i> ," <u>J. Clin. Invest.</u> , 98:715-722.
	C16	Bluestone et al., (1995), "New Perspectives of CD28-B7-Mediated T Cell Costimulation," <u>Immunity</u> , 2:555-559.

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OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C17	Boczowski et al., (1996), "Dendritic Cells Pulsed with RNA are Potent Antigen-Presenting Cells <i>In Vitro</i> and <i>In Vivo</i> ," <u>J. Exp. Med.</u> , 184: 465-472.
	C18	Bogdan et al., (1991), "Macrophage Deactivation by Interleukin 10," <u>J. Exp. Med.</u> , 174:1549.
	C19	Bonham et al., (1996), "TGF-Beta 1 Pretreatment Impairs the Allostimulatory Function of Human Bone Marrow-Derived Antigen-Presenting Cells for Both Naive and Primed T Cells," <u>Transplant Immunol.</u> , 4:186-191.
	C20	Bonham et al., (2002), "Marked Prolongation of Cardiac Allograft Survival by Dendritic Cells Genetically Engineered with NF-Kappa B Oligodeoxyribonucleotide Decoys and Adenoviral Vectors Encoding CTLA4-Ig," <u>J. Immunol.</u> , 169(6):3382-91.
	C21	Bramson et al., (1996), "Direct Intratumoral Injection of an Adenovirus Expressing Interleukin-12 Induces Regression and Long-Lasting Immunity that is Associated with Highly Localized Expression of Interleukin-12," <u>Human Gene Therapy</u> , 7:1995-2002.
	C22	Brocker et al., (1997), "Targeted Expression of Major Histocompatibility Complex (MHC) Class II Molecules Demonstrates that Dendritic Cells Can Induce Negative but not Positive Selection of Thymocytes <i>In Vivo</i> ," <u>J. Exp. Med.</u> , 185:541-50.
	C23	Brunda et al., (1993), "Antitumor and Antimetastatic Activity of Interleukin 12 Against Murine Tumors," <u>J. Exp. Med.</u> , 178:1223-1230.
	C24	Brunet et al., (1987), "A New Member of the Immunoglobulin Superfamily--CTLA-4.," <u>Nature</u> , 328:267-70.
	C25	Brunner et al., (1989), "Site-Directed Mutagenesis of Cysteine Residues in the Pro Region of the Transforming Growth Factor Beta 1 Precursor. Expression and Characterization of Mutant Proteins," <u>J. Biol. Chem.</u> , 264:13660-4.
	C26	Buelens et al., (1997), "Human Dendritic Cell Responses to Lipopolysaccharide and CD40 Ligation are Differentially Regulated by Interleukin-10," <u>Eur. J. Immunol.</u> , 27:1848-52.
	C27	Buonocore et al., (2003), "Dendritic Cells Overexpressing CD95 (Fas) Ligand Elicit Vigourous Allospecific T-cell Repsonses <i>In Vivo</i> ," <u>Blood</u> , 101:1469-1476.
	C28	Cai et al., (2000), "Interleukin-18 (IL-18) Enhances Innate IL-12-Mediated Resistance to <i>Toxoplasma gondii</i> ," <u>Infect. Immun.</u> , 68:6932-38.
	C29	Candido et al., (2001), "Local Administration of Dendritic Cells Inhibits Established Breast Tumor Growth: Implications for Apoptosis-Inducing Agents," <u>Cancer Research</u> , 61:228-236.
	C30	Cantrell et al., (1985), "Cloning, Sequence, and Expression of a Human Granulocyte/Macrophage Colony-Stimulating Factor," <u>Proc. Natl. Acad. Sci. USA</u> , 82:6250-6254.

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	C31	Cao et al., (2000), "Enhanced Antitumoral Effect of Adenovirus-Mediated Cytosine Deaminase Gene Therapy by Induction of Antigen-Presenting Cells Through Stem Cell Factor/Granulocyte-Macrophage Colong-Stimulating Factor Gene Transfer," <u>Cancer Gene Therapy</u> , 7(2):177-186.
	C32	Caux et al., (1996), "CD34 Hematopoietic Progenitors from Human Cord Blood differentiate Along Two Independent Dendritic Cell Pathways in Response to GM-CSF + TNF α ," <u>J. Exp. Med.</u> , 184:695-706.
	C33	Cella et al., (1997), "Inflammatory Stimuli Induce Accumulation of MHC Class II Complexes on Dendritic cells," <u>Nature</u> , 388:782-7.
	C34	Celluzzi et al., (1996), "Peptide-Pulsed Dendritic Cells Induce Antigen-Specific CTL-Mediated Protective Tumor Immunity," <u>J Exp Med.</u> , 183(1):283-7.
	C35	Chambers et al., (1992), "Long Term Expression of IL-4 In Vivo Using Retroviral-Mediated Gene Transfer," <u>the Journal of Immunology</u> , 149:2899-2905.
	C36	Charles et al., (1993), "Cloning, Characterization, and Expression of a cDNA Encoding an Inducible Nitric Oxide Synthase from the Human Chondrocyte," <u>Proc. Natl. Acad. Sci. U S A</u> , 90(23):11419-23.
	C37	Chen et al., (2000), "Porcine Stem Cell Engraftment and Seeding of Murine Thymus with Class II+ Cells in Mice Expressing Porcine Cytokines: Toward Tolerance Induction Across Discordant Xenogeneic Barriers", <u>Transplantation</u> , 69(12): 2484-2490.
	C38	Clare-Salzler et al., (1992), "Prevention of Diabetes in Nonobese Diabetic Mice by Dendritic Cell Transfer," <u>J. Clin. Invest.</u> , 90:741-8.
	C39	Cormack et al., (1996), "FACS-Optimized Mutants of the Green Fluorescent Protein (GFP)," <u>Gene</u> , 173(1 Spec No):33-8.
	C40	Coughlin et al., (1998), "Interleukin-12 and Interleukin-18 Synergistically Induce Murine Tumor Regression Which Involves Inhibition of Angiogenesis," <u>J. Clin. Invest.</u> , 101:1441-52.
	C41	Dang et al., (1999), "Gene Therapy and Translational Cancer Research," <u>Clin. Cancer Res.</u> , 5:471-474.
	C42	Da Col et al., (1993), "Characterization of the Chemical Structure of Sulphated Glycosaminoglycans After Enzymatic Digestion," <u>J. Chromatogr.</u> , 647:289-300.
	C43	Dao et al., (1998), "IL-18 Augments Perforin-Dependent Cytotoxicity of Liver NK-T Cells," <u>J. Immunol.</u> , 161(5):2217-22.
	C44	Dariavach et al., (1998), "Human Ig Superfamily CTLA-4 gene: Chromosomal Localization and Identity of Protein Sequence Between Murine and Human CTLA-4 Cytoplasmic Domains," <u>Eur. J. Immunol.</u> , 18:1901-1905.
	C45	de Martin et al., (1987), "Complementary DNA for Human Glioblastoma-Derived T cell Suppressor Factor, A Novel Member of the Transforming Growth Factor-Beta Gene Family," <u>EMBO J.</u> , 6:3673-3677.

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	C46	de Smedt et al., (1997) "Effect of Interleukin-10 on Dendritic Cell Maturation and Function," <u>Eur. J. Immunol.</u> , 27:1229-35.
	C47	de Waal et al (1991a), "Interleukin 10 (IL-10) and Viral IL-10 Strongly Reduce Antigen-Specific Human T Cell Proliferation by Diminishing the Antigen-Presenting Capacity of Monocytes via Downregulation of Class II Major Histocompatibility Complex Expression," <u>J. Exp. Med.</u> , 174:915-24.
	C48	de Waal et al. (1992), "Interleukin-10," <u>Curr. Opin. Immunol.</u> , 4:314-20.
	C49	de Waal et al., (1991b), "Interleukin 10(IL-10) Inhibits Cytokine Synthesis by Human Monocytes: An Autoregulatory Role of IL-10 Produced by Monocytes," <u>J. Exp. Med.</u> , 174:1209-20.
	C50	Dell et al., (2001), "Glycoprotein Structure Determination by Mass Spectrometry," <u>Science</u> , 291:2351-2356.
	C51	Demiden et al., (1991), "Comparison of Effects of Transforming Growth Factor-Beta and Cyclosporin A on Antigen-Presenting Cells of Blood and Epidermis," <u>J. Invest. Dermatol.</u> , 96(4):401-7.
	C52	Derynck et al., (1988), "A New Type of Transforming Growth Factor- β , TGF- β 3," <u>EMBO J.</u> , 7(12): 3737-3743.
	C53	Derynck et al.,(1985), "Human Transforming Growth Gactor- β Complementary DNA Sequence and Expression in Normal and Transformed Cells," <u>Nature</u> , 316:701-705.
	C54	Ding et al., (1993), "IL-10 Inhibits Macrophage Costimulatory Activity by Selectively Inhibiting the Up-Regulation of B7 Expression," <u>J. Immunol.</u> , 151:1224-34.
	C55	Dove et al., (2001), "The Bittersweet Promise of Glycobiology: Carbohydrates Play a Wide Range of Important Roles in the Body and Despite the Challenges Posed by Glycobiology are Now Tempting Targets for Drug Developments," <u>Nature Biotech.</u> , 19:913-917.
	C56	Drazan et al., (1995), "Transduction of Hepatic Allografts Achieves Local Levels of Viral IL-10 which Suppress Alloreactivity <i>in Vitro</i> ," <u>Journal of Surgical Research</u> , 59:219-223.
	C57	Drazan et al., (1996), "Adenovirus-Mediated Gene Transfer in the Transplant Setting: Early Events After Orthotopic Transplantation of Liver Allografts Expressing TGF- β 1," <u>Transplantation</u> , 62:1080-4.
	C58	Enk et al., (1993), "Inhibition of Langerhans Cell Antigen-Presenting Function by IL-10," <u>J. Immunol.</u> , 151:2390-2398.
	C59	Fiers et al., (1987), "Gene Cloning and Structure-Function Relationship of Cytokines Such as TNF and Interleukins," <u>Immunology Letters</u> , 16:219-226.
	C60	Finkelman et al., (1996), "Dendritic Cells Can Present Antigen <i>In Vivo</i> in a Tolerogenic or Immunogenic Fashion," <u>J. Immunol.</u> , 157:1406-14.

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	C61	Fiorentino et al., (1991), "IL-10 Inhibits Cytokine Production by Activated Macrophages," <u>J. Immunol.</u> , 147:3815-22.
	C62	Flamand et al., (1994), "Murine Dendritic Cells Pulsed <i>In Vitro</i> with Tumor Antigen Induce Tumor Resistance <i>In Vivo</i> ," <u>Eur. J. Immunol.</u> , 24:605-610.
	C63	Fu et al., (1996), "Costimulatory Molecule-Deficient Dendritic Cell Progenitors (MHC class II+, CD80dim, CD86-) Prolong Cardiac Allograft Survival in Nonimmunosuppressed Recipients," <u>Transplantation</u> , 62(5):659-65.
	C64	Fuchs et al., (1992), "B Cells Turn off Virgin But not Memory T Cells," <u>Science</u> , 258:1156-1159.
	C65	Gauchat et al., (1993), "Human CD40-Ligand: Molecular Cloning, Cellular Distribution and Regulation of Expression by Factors Controlling IgE Production," <u>FEBS</u> , 315(3): 259-266.
	C66	Gause et al., (1996), "H. Polygyrus: B7-Independence of the Secondary Type 2 Response," <u>Exp. Parasitol.</u> , 84(2):264-73.
	C67	Geller et al., (1993), "Cytokines, Endotoxin, and Glucocorticoids Regulate the Expression of Inducible Nitric Oxide Synthase in Hepatocytes," <u>Proc. Natl. Acad. Sci. USA</u> , 90(2): 522-6.
	C68	Geller et al., (1993), "Molecular Cloning and Expression of Inducible Nitric Oxide Synthase From Human Hepatocytes," <u>Proc. Natl. Acad. Sci. USA</u> , 90(8):3491-3495.
	C69	Ghivazzani et al., (1997), "Constitutive Intra-Articular Expression of Human IL-1 Beta Following Gene Transfer to Rabbit Synovium Produces All Major Pathologies of Human Rheumatoid Arthritis," <u>J. Immunol.</u> , 159:3604:12.
	C70	Giannoukakis et al. (2000) "Prolongation of Cardiac Allograft Survival Using Dendritic Cells Treated with NT- κ B Decoy Oligodeoxyribonucleotides," <u>Molecular Therapy</u> , 1(5): 430-437.
	C71	Gilbert et al., (1994), "Tolerogenicity of Resting and Activated B Cells," <u>J. Exp. Med.</u> , 179:249-258.
	C72	Gong et al. (1997), "Induction of Antitumor Activity by Immunization with Fusions of Dendritic and Carcinoma Cells," <u>Nature Med.</u> , 3:558-561.
	C73	Goodwin et al., (1989), "Human Interleukin 7: Molecular Cloning and Growth Factor Activity on Human and Murine B-Lineage Cells," <u>Proc. Natl. Acad. Sci. USA</u> , 86: 302-306.
	C74	Grammer et al., (1995), "The CD40 Ligand Expressed by Human B Cells Costimulates B Cell Responses," <u>J. Immunol.</u> , 154:4996-5010.
	C75	Gren et al., (1984), "Novel Human Leukocyte Interferon Subtype and Structural Comparison of Alpha Interferon Genes," <u>Journal of Interferon Research</u> , 4:609-617.

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OTHER ART, JOURNAL ARTICLES, ETC.		
EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C76	Grohmann et al., (1997), "A Tumor-Associated and Self Antigen Peptide Presented by Dendritic Cells May Induce T cell Anergy <i>In Vivo</i> , But IL-12 Can Prevent or Revert the Anergic State," <u>J. Immunol.</u> , 158:3593-602.
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